

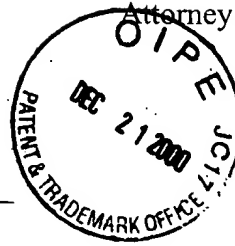
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Assistant Commissioner for Patents
Attn: Box Missing Parts
Washington, D.C. 20231

on Dec. 18, 2000

TOWNSEND and TOWNSEND and CREW LLP

By Nina L. McNeill
Nina L. McNeill



PATENT

Attorney Docket No. 18357-000610US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Brad C. Hollander

Application No.: 09/619,520

Filed: July 19, 2000

For: METHODS AND APPARATUS FOR
DISINFECTING AND STERILIZING
FLUIDS USING ULTRAVIOLET
RADIATION

Examiner: Not Yet Assigned

Art Unit: 1744

TRANSMITTAL LETTER -
RESPONSE TO NOTICE OF MISSING
PARTS

Attn: Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Pursuant to the Notice to File Missing Parts of Application - Filing Date
Granted dated October 18, 2000, enclosed are the following to be made of record in the above-
identified application:

- 1) Executed Declaration and Power of Attorney
- 2) Verified Statement Claiming Small Entity Status
- 3) Request for Corrected Filing Receipt
- 4) Copy of Filing Receipt (showing corrections)
- 5) Copy of Notice of Missing Parts

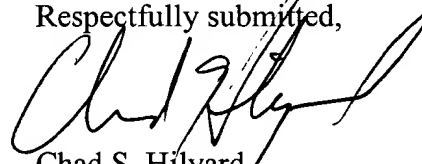
Please charge Deposit Account No. 20-1430 for the following fees:

Small entity: (a)	Filing Fee (§ 1.16(a)) (Small Entity)	\$ 355.00
(b)	Excess Claims Fees (§ 1.16(b), (c)):	
	42 - 20 = 22 x \$ 9.00=	\$198.00
(c)	Missing Parts Surcharge	\$65.00

TOTAL FEES TO BE CHARGED **\$618.00**

The Commissioner is hereby authorized to charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to Deposit Account No. 20-1430. This Transmittal Letter is submitted in triplicate.

Respectfully submitted,



Chad S. Hilyard
Reg. No. 40,647

TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(303) 571-4000
Fax (303) 571-4321
CSH/nlm:

rev. 10/1/00

DE 7029315 v1

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Assistant Commissioner for Patents Washington, D.C. 20231
on Dec. 18, 2000

PATENT
Attorney Docket No.: 18357-000610US

By: Nina L. McNeill
Nina L. McNeill



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Brad C. Hollander

Application No.: 09/619,520

Filed: July 19, 2000

For: METHODS AND APPARATUS FOR
DISINFECTING AND STERILIZING
FLUIDS USING ULTRAVIOLET
RADIATION

Examiner: Not Yet Assigned

Art Unit: 1744

REQUEST FOR CORRECTED FILING
RECEIPT

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, D.C. 20231

Sir:

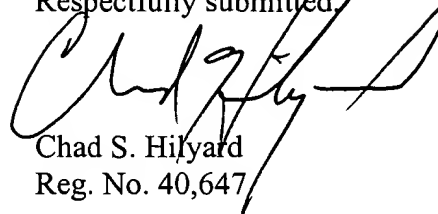
Attached is a copy of the official Filing Receipt received from the Patent and Trademark Office in the above-noted application for which issuance of a corrected filing receipt is respectfully requested.

There is an error in that the title of the invention should read as follows:

METHODS AND APPARATUS FOR DISINFECTING AND STERILIZING
FLUIDS USING ULTRAVIOLET RADIATION

The correction is not due to any error by applicant and no fee is due.

Respectfully submitted,



Chad S. Hilyard
Reg. No. 40,647

TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
Tel: (415) 576-0200
Fax: (415) 576-0300
CSH/nlm

DE 7029317 v1



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/619,520	07/19/2000	Brad C. Hollander	18357-00610US

20350
TOWNSEND AND TOWNSEND AND CREW
TWO EMBARCADERO CENTER
EIGHTH FLOOR
SAN FRANCISCO, CA 94111-3834



FORMALITIES LETTER



OC000000005482665

Date Mailed: 10/18/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$396.
 - \$396 for 22 total claims over 20.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1216.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/26/2000 HMARHOL 00000065 201430 09619520

01 FC:201 355.00 CH
02 FC:205 65.00 CH
03 FC:203 198.00 CH

RECEIVED
00 OCT 23 AM 10:18
TOWNSEND & TOWNSEND
& CREW

Please type a plus sign (+) inside this box →

DEC 21 2000

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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SECTOR

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

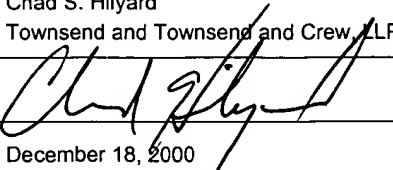
Application Number	09/619,520
Filing Date	July 19, 2000
First Named Inventor	Brad C. Hollander
Group Art Unit	1744
Examiner Name	Not Yet Assigned
Attorney Docket Number	18357-000610US

Total Number of Pages in This Submission 11


ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Declaration and Power of Attorney; Verified Statement Claiming Small Entity; Request for Corrected Filing Receipt; Copy of Filing Receipt (showing corrections; Copy of Notice of Missing Parts		
<table><tr><td>Remarks</td><td></td></tr></table>			Remarks	
Remarks				

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Chad S. Hilyard Townsend and Townsend and Crew, LLP
Signature	
Date	December 18, 2000

CERTIFICATE OF MAILING

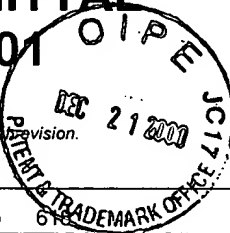
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: December 18, 2000			
Typed or printed name	Nina L. McNeill		
Signature		Date	12/18/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**FEE TRANSMITTAL
for FY 2001**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT**

(\$)

618

Complete if Known

Application Number	09/619,520
Filing Date	July 19, 2000
First Named Inventor	Brad C. Hollander
Examiner Name	Not Yet Assigned
Group / Art Unit	1744
Attorney Docket No.	18357-000610US

METHOD OF PAYMENT (check one)

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Number

20-1430

Deposit
Account
Name

Townsend and Townsend and Crew LLP

- ☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status.
See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money
Order ☐ Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	355
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1)

(\$)

355

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
42	-20** = 22	X 9 = 198	
Independent Claims	3	-3** = 0	X = 0
Multiple Dependent		X = 0	

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$)

198

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	65
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

65

SUBMITTED BY**Complete (if applicable)**

Name (Print/Type)	Chad S. Hilyard	Registration No. Attorney/Agent)	40,647	Telephone	(3030 571-4000
Signature				Date	December 18, 2000

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. (DE 7029328 v1)

018357-000610US

CSHilyard



Townsend and Townsend
and Crew
UNITED STATES PATENT AND TRADEMARK OFFICE

OCT 25 2000

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/619,520	07/19/2000	1744	0	18357-00610US	8	42	3

20350
TOWNSEND AND TOWNSEND AND CREW
TWO EMBARCADERO CENTER
EIGHTH FLOOR
SAN FRANCISCO, CA 94111-3834



FILING RECEIPT



OC000000005482664

Date Mailed: 10/18/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Brad C. Hollander, Minden, NV ;

Continuing Data as Claimed by Applicant

THIS APPLN CLAIMS BENEFIT OF 60/144,638 07/20/1999

Foreign Applications

If Required, Foreign Filing License Granted 10/17/2000

Title

Methods and apparatus for disinfecting and sterilizing fluid using ultraviolet radiation

FLUIDS

Preliminary Class

422

TOWNSEND & TOWNSEND
& CREW
RECEIVED
00 OCT 23 AM 10:18

Data entry by : ARMSTEAD, LORRAINE

Team : OIPE

Date: 10/18/2000

